



07/16/02

DA#

PATENTS  
CF-030

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Howard W. Lutnick et al.  
Application No. : 10/015,738  
Confirmation No. : 3474  
Filed : December 12, 2001  
For : METHODS AND SYSTEMS FOR TRADING OF  
FUTURES CONTRACTS FOR INTANGIBLE  
ASSETS  
Group Art Unit : 2161

EXPRESS MAIL CERTIFICATION

EXPRESS MAIL LABEL NO. EV045437578US


Date of Deposit: July 12, 2002.

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OFFICE OF PETITIONS

I hereby certify that this paper/fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to Box MISSING PARTS, Hon. Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202.

  
Lillian Garcia

Enclosures:

REPLY TO NOTICE TO FILE MISSING PARTS (IN DUPLICATE)  
COPY OF JANUARY 22, 2002 NOTICE TO FILE MISSING PARTS  
PARTIALLY-EXECUTED DECLARATION AND POWER OF ATTORNEY  
PETITION FOR FILING WHEN AN INVENTOR'S LEGAL  
REPRESENTATIVE REFUSES TO SIGN  
COPY OF LETTER TO LEGAL REPRESENTATIVE  
LAST KNOWN ADDRESS OF NONSIGNING LEGAL REPRESENTATIVE  
PETITION FOR EXTENSION OF TIME (IN DUPLICATE)  
CHECKS IN THE AMOUNT OF \$ 130.00, \$ 130.00, AND  
\$ 1,440.00  
RETURN POSTCARD



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New York, New York 10020  
July 12, 2002

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Hon. Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

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REPLY TO NOTICE TO FILE MISSING  
PARTS OF NONPROVISIONAL APPLICATION

Sir:

In reply to the Notice To File Missing Parts of Nonprovisional Application mailed January 22, 2002, applicants hereby submit the following:

1. A copy of the January 22, 2002 Notice To File Missing Parts Of Nonprovisional Application;
2. A partially-executed Declaration And Power Of Attorney;
3. A Petition For Filing When An Inventor's Legal Representative Refuses To Sign Pursuant To 37 C.F.R. § 1.47 and a file copy of a January 15, 2002 letter to the legal

representative;

4. A Last Known Address Of Nonsigning Legal Representative Of Deceased Inventor Pursuant to 37 C.F.R.

§ 1.47;

5. A check in the amount of \$ 130.00 in payment of the petition fee set forth in 37 C.F.R. § 1.17(h);

6. A check in the amount of \$ 130.00 in payment of the surcharge set forth in 37 C.F.R. § 1.16(e);

7. A Petition For Extension Of Time Pursuant To 37 C.F.R. § 1.136(a); and

8. A check in the amount of \$ 1,440.00 in payment of the 4-month extension fee set forth in 37 C.F.R. § 1.17(a)(4).

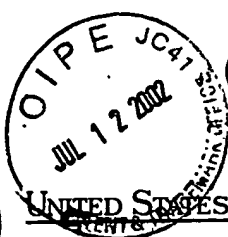
Please charge any underpayment, or credit any overpayment, in connection with this Reply to Deposit Account No. 06-1075. A duplicate copy of this Reply is enclosed.

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak  
Registration No. 50,492  
Agent for Applicants

FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1105  
(212) 596-9000



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/015,738	12/12/2001	Howard W. Lutnick	CF-030

CONFIRMATION NO. 3474

1473  
FISH & NEAVE  
1251 AVENUE OF THE AMERICAS  
50TH FLOOR  
NEW YORK, NY 10020-1105

## FORMALITIES LETTER



\*OC000000007342504\*

Date Mailed: 01/22/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

*H. Lemessa*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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LAST KNOWN ADDRESS OF NONSIGNING  
LEGAL REPRESENTATIVE OF DECEASED INVENTOR  
PURSUANT TO 37 C.F.R. § 1.47

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OFFICE OF PETITIONS

Full Name Of Deceased Inventor Andrew C. Gilbert  
Legal Representative (Wife) Mary Ann Gilbert  
Last Known Address 5 Scarlet Oak Road  
Califon, New Jersey 07830  
Last Known Post Office Address SAME

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak  
Reg. No. 50,492  
Agent for Applicants

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